

**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 USC § 371**

DATE:

June 28, 2006

ATTORNEY DOCKET NUMBER

59407US010

U.S. APPLICATION NO.

(if known, see 37 CFR § 1.5)

INTERNATIONAL APPLICATION NO.

PCT/US04/043474

INTERNATIONAL FILING DATE

December 22, 2004

PRIORITY DATE CLAIMED

December 29, 2003

## TITLE OF INVENTION

PIPERAZINE, [1,4] DIAZEPANE, [1,4] DIAZOCANE, AND [1,5] DIAZOCANE FUSED IMIDAZO RING COMPOUNDS

## APPLICANT(S) FOR DO/EO/US

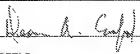
Tushar A. KSHIRSAGAR, George W. GRIESGRABER, Azim A. CELEBI, and Philip D. HEPPNER

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 USC § 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 USC § 371.
3. ☐ This is an express request to begin national examination procedures (35 USC § 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☐ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 USC § 371(c)(2)).
  - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ has been communicated by the International Bureau.
  - c. ☒ is not required, as the application was filed in the United States Receiving Office (RO/US)
6. ☐ An English language translation of the International Application as filed (35 USC § 371(c)(2)).
  - a. ☐ is attached hereto
  - b. ☐ has been previously submitted under 35 USC § 154(d)(4)
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 USC § 371(c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired
  - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 USC § 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 USC § 371 (c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 USC §§ 371(c)(5)).

## Items 11 to 20 below concern document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR §§ 1.97 and 1.98.
12. ☒ An assignment to 3M Innovative Properties Company will follow.
13. ☒ A preliminary amendment.
14. ☐ An Application Data Sheet under 37 CFR § 1.76.
15. ☐ A substitute specification.
16. ☐ A power of attorney and/or change of address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR §§ 1.821 - 1.825.
18. ☐ A second copy of the published international application under 35 USC § 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 USC § 154(d)(4).
20. ☐ Other items or information.

U.S. APPLN. NO. (if known, see 37 CFR § 1.5):		INTERNATIONAL APPN. NO.: PCT/US04/043474		ATTORNEY'S DOCKET NO.: 59407US010	
<b>The following fees will be paid via EFS-Web at the time of filing:</b>				Calculations	PTO Use Only
21.	<input checked="" type="checkbox"/> Basic national fee (37 CFR 1.492(a)).....	\$300		\$300	
22.	<input checked="" type="checkbox"/> Examination fee (37 CFR 1.492(c)).....				
If the written opinion prepared by ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4).....				\$0	
All other situations.....				\$200	
23.	<input checked="" type="checkbox"/> Search fee (37 CFR 1.492(b)).....				
If the written opinion prepared by ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4).....				\$0	
Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority.....				\$100	
International Search Report prepared by an ISA other than the US and provided to the Office or previously communicated to the US by the IB.....				\$400	
All other situations.....				\$500	
<b>TOTAL OF 21, 22 and 23=</b>				<b>\$600.00</b>	
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence or computer program listing filed in an electronic medium) The fee is \$250 for each additional 50 sheets of paper or fraction thereof.					
<b>Fee Calc</b>	<b>Number Filed</b>	<b>(Minus 25%) EFS Filing</b>	<b>Minus 100</b>	<b>Calc.Extra</b>	<b>Rate (for ea.add'l 50)</b>
Application Size Fee	239	179	79	2	\$250.00
Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR § 1.492(e)).					\$0.00
<b>CLAIMS</b>		<b>NUMBER FILED</b>		<b>EXTRA</b>	<b>RATE</b>
Total claims		32 - 20 =		12	x \$50.00
Independent claims		3 - 3 =		0	x \$200.00
Add'l fee for one or more multiple dependent claims					\$360.00
<b>Total Amount Due</b>					<b>\$1,700.00</b>
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR § 1.27. The fees indicated above are reduced by 1/2.					\$0.00
<b>SUBTOTAL =</b>					<b>\$1,700.00</b>
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest priority date (37 CFR § 1.492(f)).					\$0.00
<b>TOTAL NATIONAL FEE =</b>					<b>\$1,700.00</b>
Fee for recording the enclosed assignment (37 CFR § 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR §§ 3.28, 3.31). \$40.00 per property					\$0.00
<b>TOTAL FEES ENCLOSED =</b>					<b>\$1,700.00</b>
				Amount to be \$	
				refunded:	
				Amount to be charged	<b>\$1,700.00</b>
a. <input checked="" type="checkbox"/> Fees will be paid via EFS-Web at the time of filing. b. <input type="checkbox"/> Please charge my Deposit Account No. <u>13-3723</u> in the amount of \$ _____ to cover the above fees. c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>13-3723</u>					
NOTE: Where an appropriate time limit under 37 CFR § 1.495 has not been met, a petition to revive (37 CFR § 1.137(a) or (b)) must be filed and granted to restore the application to pending status.					
Signature 					
Name: DEAN A. ERSFELD				Registration Number: 46,689	
Address: Office of Intellectual Property Counsel 3M Innovative Properties Company P.O. Box 33427 St. Paul, Minnesota 55133-3427					